

# SPARK ENERGY, INC. Reported by GARRETT JASON K.

## FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 12/15/15 for the Period Ending 12/14/15

Address **12140 WICKCHESTER LANE SUITE 100** HOUSTON, TX, 77079 Telephone (713) 600-2600 CIK 0001606268 SPKE Symbol SIC Code 4931 - Electric and Other Services Combined **Electric Utilities** Industry Utilities Sector Fiscal Year 12/31

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| FORM 4 |  |
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[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

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#### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person <sup>*</sup> | 2. Issuer Name and Ticker or Trading Symbol       | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)                  |
|--|---|---|
| Garrett Jason K.                                     | Spark Energy, Inc. [ SPKE ]                       |   |
| (Last) (First) (Middle)                              | 3. Date of Earliest Transaction (MM/DD/YYYY)      | Director 10% Owner<br>X Officer (give title below) Other (specify below)                    |
| 12140 WICKCHESTER LANE SUITE<br>100                  | 12/14/2015  | Executive VP, Retail  |
| (Street)   | 4. If Amendment, Date Original Filed (MM/DD/YYYY) | 6. Individual or Joint/Group Filing (Check Applicable Line)                                 |
| HOUSTON, TX 77079<br>(City) (State) (Zip)            |   | <b>X</b> Form filed by One Reporting Person<br>Form filed by More than One Reporting Person |

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1.Title of Security | 2. Trans. Date | 2A. Deemed   | 3. Trans. Coc | le | 4. Securit   | ies Acquire | ed (A) | 5. Amount of Securities Beneficially Owned | 6.          | 7. Nature   |
|---------------------|----------------|--------------|---------------|----|--------------|-------------|--------|--|-------------|-------------|
| (Instr. 3)          |                | Execution    | (Instr. 8)    |    | or Dispos    | ed of (D)   |        | Following Reported Transaction(s)          | Ownership   | of Indirect |
|                     |                | Date, if any |               |    | (Instr. 3, 4 | 4 and 5)    |        | (Instr. 3 and 4)                           | Form:       | Beneficial  |
|                     |                |              |               |    |              |             |        |  | Direct (D)  | Ownership   |
|                     |                |              |               |    |              |             |        |  | or Indirect | (Instr. 4)  |
|                     |                |              |               |    |              | (A) or      |        |  | (I) (Instr. |             |
|                     |                |              | Code          | V  | Amount       | (D)         | Price  |  | 4)          |             |

#### Table II - Derivative Securities Beneficially Owned ( e.g. , puts, calls, warrants, options, convertible securities)

| 1. Title of Derivate<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Trans.<br>Date | 3A. Deemed<br>Execution<br>Date, if any | Code |   |         | Expiration Date<br>Expiration Date<br>(a) or Disposed of<br>(b) |                     | ation Date Securities Underlying<br>Derivative Security |                            | (Instr. 5) Benefic<br>Owned      | Derivative<br>Security<br>(Instr. 5) | derivative<br>Securities<br>Beneficially<br>Owned | Ownership<br>Form of<br>Derivative | Beneficial |
|--|---|-------------------|---|------|---|---------|---|---------------------|---|----------------------------|----------------------------------|--------------------------------------|---|------------------------------------|------------|
|  |   |                   |   | Code | v | (A)     | (D)   | Date<br>Exercisable | Expiration<br>Date                                      | Title                      | Amount or<br>Number of<br>Shares |                                      | Reported<br>Transaction(s)                        | or Indirect                        |            |
| Restricted Stock<br>Unit                       | <u>(1) (2)</u>  | 12/14/2015        |   | Α    |   | 514 (3) |   | <u>(2)</u>          | <u>(2)</u>  | Class A<br>Common<br>Stock | 514.0                            | \$18.06                              | 26098 <sup>(4)</sup>                              | D                                  |            |

#### **Explanation of Responses:**

- (1) Each restricted stock unit ("RSU") represents a right to receive, upon vesting, one share of Class A Common Stock, par value \$0.01 per share (the "Class A Common Stock"), of Spark Energy, Inc., cash, or a combination of both. Each RSU includes tandem dividend equivalents which will vest upon the same schedule referenced in Footnote 2.
- (2) Each of these RSUs vests and pays out upon vesting and payout of the underlying award of RSUs to which the dividend equivalent payment relates.
- (3) These RSUs accrued on outstanding RSUs held by reporting person as a result of a dividend equivalent payment made to the holder when the Company paid its most recent quarterly dividend on the Class A Common Stock.
- (4) Balance includes original grants of RSUs and dividend equivalents issued in additional RSUs.

#### **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |                      |       |  |  |  |
|---|---------------|-----------|----------------------|-------|--|--|--|
| Reporting Owner Name / Address  | Director      | 10% Owner | Officer              | Other |  |  |  |
| Garrett Jason K.<br>12140 WICKCHESTER LANE SUITE 100<br>HOUSTON, TX 77079 |               |           | Executive VP, Retail |       |  |  |  |

#### Signatures

| /s/ Jason K Garrett, by Gil Melman, as Attorney-in-Fact | 12/15/2015 |
|---|------------|
| ** Signature of Reporting Person                        | Date       |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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